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OMB APPROVAL

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UNITED STATES Washington DC 29/6 JUL 17 PM 3: 45 SECURITIES AND EXCHANGE COMMISS 194 Washington, D.C. 20549

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SEC / MR

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

### READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

### Part I

# **Initial Listing Report**

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:

The NASDAQ Stock Market LLC

- 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): **Open End Management Investment Company**
- 3. Class of New Derivative Securities Product:

**Exchange Traded Fund** 

4. Name of Underlying Instrument:

**NASDAQ AlphaDEX Taiwan Index** 

- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-Based**
- 6. Ticker Symbol(s) of New Derivative Securities Product:

- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Taiwan

8. Settlement Methodology of New Derivatives Product:

Regular way trades settle on T + 3 (cash settled)

9. Position Limits of New Derivative Securities Product (if applicable): N/A

# Part II

#### Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

### William Slattery

Title:

#### Vice President

Telephone Number:

1-301-978-8088

Manual Signature of Official Responsible for Form:

Date: July 14, 2015

Act

Securities Decimage Act of 1934

Section

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19b-4(e)

Public

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